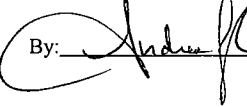


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PATENT  
Attorney Docket No.: 020425-105900US

TOWNSEND and TOWNSEND and CREW LLP

By:  Andrea S. Beck

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

James D. Peterson

Application No.: 10/698,140

Filed: October 31, 2003

For: SYSTEM AND METHOD FOR  
PROVIDING FINANCIAL ADVICE  
FOR AN INVESTMENT PORTFOLIO

Customer No.: 20350

Confirmation No. 2938

Examiner: Eric Tak Wai Wong

Technology Center/Art Unit: 4172

AMENDMENT

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In response to the Office Action mailed October 31, 2007, please enter the  
following amendments and remarks:

**Amendments to the Claims** are reflected in the listing of claims which begins on page 2 of this  
paper.

**Remarks/Arguments** begin on page 10 of this paper.